



## Notice of Award

SPECIALIZED CTR COOPERATIVE AGREEMENT

Issue Date: 08/22/2012

Department of Health and Human Services

Centers for Disease Control and Prevention

NATIONAL CENTER FOR INFECTIOUS DISEASES (NCID)



Grant Number: 3U50CI000925-02S3

Principal Investigator(s):

ALFRED DEMARIA

Project Title: PPHF-BUILDING EPIDEMIOLOGY LABORATORY CAPACITY (ELC)

MASSACHUSETTS DEPART OF PUBLIC H  
250 WASHINGTON STREET  
BOSTON, MA 02130

Award e-mailed to: Carol.Foltz@state.ma.us

Budget Period: 08/01/2011 – 07/31/2013

Project Period: 09/30/2010 – 07/31/2013

Dear Business Official:

The Centers for Disease Control and Prevention hereby awards a grant in the amount of \$1,100,171 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to MA ST DEPARTMENT OF PUBLIC HEALTH in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Hector Suárez

Grants Management Officer  
Centers for Disease Control and Prevention

Additional information follows

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**SECTION I – AWARD DATA – 3U50CI000925-02S3****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$490,676
Fringe Benefits	\$146,571
<b>Personnel Costs (Subtotal)</b>	<b>\$637,247</b>
Supplies	\$21,371
Travel Costs	\$3,723
Other Costs	\$28,457
<b>Consortium/Contractual Cost</b>	<b>\$387,081</b>
<b>Federal Direct Costs</b>	<b>\$1,077,879</b>
<b>Federal F&amp;A Costs</b>	<b>\$72,622</b>
<b>Approved Budget</b>	<b>\$1,150,501</b>
<b>Federal Share</b>	<b>\$1,150,501</b>
<b>Less Unobligated Balance</b>	<b>\$50,330</b>
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$1,100,171</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$1,100,171</b>

**Fiscal Information:**

CFDA Number: 93.521  
EIN: 1046002284B7  
Document Number: 000925EL12

/C	CAN	2012
CK	939ZDKP	\$663,865
CK	939ZMPE	\$333,495
IP	939ZMPT	\$102,811

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR ( 2 )	
GRANT NUMBER	TOTAL FEDERAL AWARD AMOUNT
3U50CI000925-02S3	\$1,100,171
5U50CI000925-02	\$1,104,021
3U50CI000925-02S2	\$32,450
3U50CI000925-02S1	\$521,473
<b>TOTAL</b>	<b>\$2,758,115</b>

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$1,100,171	\$2,758,115

**CDC Administrative Data:**

PCC: N / OC: 4141 / Processed: BUITRAGOH 08/22/2012

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 3U50CI000925-02S3**

For payment information see Payment Information section in Additional Terms and Conditions.

**INSPECTOR GENERAL:** The HHS Office Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to hhstips@oig.hhs.gov or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous. This note replaces the Inspector General contact information cited in previous notice of award.

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### **SECTION III – TERMS AND CONDITIONS – 3U50CI000925-02S3**

This award is based on the application submitted to, and as approved by, CDC on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The HS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

National Center For Immunization And Respiratory Diseases (IP)  
National Center For Zoonotic, Vector-borne, And Enteric Diseases (CK)

**Treatment of Program Income:**

Additional Costs

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### **SECTION IV – CI Special Terms and Conditions – 3U50CI000925-02S3**

Funding Opportunity Announcement (FOA) Number: CDC-CI10-101203PPHF12

Award Number: 3 U50 CI 000925-02 S3

#### **TERMS AND CONDITIONS OF THIS AWARD**

**NOTE 1. INCORPORATION:** Funding Opportunity Announcement Number CDC-CI10-101203PPHF12 entitled, PPHF 2012 - Epidemiology and Laboratory Capacity (ELC/EIP) - Epidemiology and Laboratory Capacity for Infectious Diseases (ELC) - Building and Strengthening Epidemiology, Laboratory and Health Information Systems Capacity in State and Local Health Departments Financed in part by 2012 Prevention and Public Health Funds, and application dated June 8, 2012, as amended, is made a part of this New Non-Research award by reference. Fiscal Year 2012 Appropriations Provision: HHS recipients must comply with all terms and conditions outlined in their grant award, including grant policy terms and conditions contained in applicable Department of Health and Human Services (HHS) Grant Policy Statements, and requirements imposed by program statutes and regulations and HHS grant administration regulations, as applicable; as well as any requirements or limitations in any applicable appropriations acts.

This award also extends the original 22-month project period and current 2nd budget period for an additional 12 months. Project and budget period extensions: This award extends your current second budget period from 8/1/2011 until 7/31/2013. Resources awarded through this continuation guidance are termed third funding period awards.

**NOTE 2. APPROVED FUNDING:**

This award is financed by 2012 Prevention and Public Health Funds (PPHF-2012).

All funding for future budget years will be based on satisfactory programmatic progress and availability of appropriated funds.

**NOTE 3. PPHF SUB-ACCOUNT:**

Funds awarded in support of approved PPHF activities for grant number 3 U50 CI 000925-02 S3 have been obligated in a newly established PPHF sub-account in the DHHS Payment Management System (PMS), herein identified as the P-Account. A P-Account is a sub-account created specifically for the purpose of tracking designated types of funding in the Payment Management System (PMS).

To drawdown funds from this P-Account, you will be required to provide the PPHF sub-account title and the PPHF sub-account number. The sub-account title and number for this award and budget year are provided below:

Sub-Account Title: CDC-CI10-101203PPHF12

PPHF Sub-Account Number: 000925EL12

Note: PPHF funds must be separately tracked and reported. PPHF funds must be used in support of approved PPHF activities in the FOA and your application. Funds cannot be used to support non-PPHF activities and cannot be comingled with any other funds. Also, funds cannot be used to support activities identified as PPHF in your approved budget. Refer to PAYMENT INFORMATION (Note 19) for a detailed explanation on how to access funds in your PMS Account.

#### NOTE 4. USE OF UNOBLIGATED FUNDS

YEAR 2010 UNOBLIGATED. This award includes use of Year 2010 unobligated in the amount of \$50,330 which has been applied as an offset to the current funding amount. The use of unobligated is approved based on the Financial Status Report (FSR)/Federal Financial Report (FFR) dated June 4, 2012. The total notice of award will be subject to a reduction if the actual unobligated amount is less than funding shown on the referenced FSR/FFR.

#### NOTE 5. FUNDING RESTRICTIONS

Sec. 503(a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself.

(b) No part of any appropriate contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient , or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislative body, other than normal and recognized executive-legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

(c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending, or future Federal, State, or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

Sec. 218. None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

Sec 253. Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

Sec 738. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal or State law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent, and made a determination that this further action is not necessary to protect the interests of the Government.

Sec 739. None of the funds made available by this act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

Sec 433. None of the funds made available by this Act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation that was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless the agency has considered suspension or debarment of the corporation, or such officer or agent and made a determination that this further action is not necessary to protect the interests of the Government.

Sec 434. None of the funds made available by this act may be used to enter into a contract, memorandum of understanding, or cooperative agreement with, make a grant to, or provide a loan or loan guarantee to, any corporation with respect to which any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, unless the agency has considered suspension or debarment of the corporation and made a determination that this further action is not necessary to protect the interests of the Government.

Recipients may not use funds for research.

Recipients may not use funds for clinical care.

Recipients may only expend funds for reasonable program purposes, including personnel, travel, supplies, and services, such as contractual.

Awardees may not generally use HHS/CDC/ATSDR funding for the purchase of furniture or equipment.

Any such proposed spending must be identified in the budget.

The direct and primary recipient in a cooperative agreement program must perform a substantial role in carrying out project objectives and not merely serve as a conduit for an award to another party or provider who is ineligible.

Reimbursement of pre-award costs is not allowed.

## General Provisions Title II

### Section 203 - Cap on Researcher Salaries

None of the funds appropriated in this title shall be used to pay the salary of an individual, through a grant or other extramural mechanism, at a rate in excess of Executive Level II; reduced from \$199,700 to \$179,700 effective December 23, 2011.

### Section 218 - Gun Control Prohibition

None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control.

### Section 220 - Prevention Fund Reporting Requirements

- (a) The Secretary shall establish a publicly accessible website to provide information regarding the uses of funds made available under section 4002 of Public Law 111-148.
- (b) With respect to funds provided for fiscal year 2012, the Secretary shall include on the website established under subsection (a) at a minimum the following information:

(1) In the case of each transfer of funds under section 4002(c), a statement indicating the program or activity receiving funds, the operating division or office that will administer the funds, the planned uses of the funds, to be posted not later than the day after the transfer is made.

(2) Identification (along with a link to the full text) of each funding opportunity announcement, request for proposals for grants, cooperative agreements, or contracts intended to be awarded using such funds, to be posted not later than the day after the announcement or solicitation is issued.

(3) Identification of each grant, cooperative agreement, or contract with a value of \$25,000 or more awarded using such funds, including the purpose of the award and the identity of the recipient, to be posted not later than 5 days after the award is made.

(4) A report detailing the uses of all funds transferred under section 4002(c) during the fiscal year, to be posted not later than 90 days after the end of the fiscal year.

(5) Semi-annual reports from each entity awarded a grant, cooperative agreement, or contract from such funds with a value of \$25,000 or more, summarizing the activities undertaken and identifying any sub-grants or subcontracts awarded (including the purpose of the award and the identity of the recipient), to be posted not later than 30 days after the end of each 6-month period.

Recipients are responsible for contacting their HHS grant/program managers for any needed clarifications.

**Responsibilities for Informing Sub-recipients:**

(a) Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, any special CFDA number assigned for 2012 PPHF fund purposes, and amount of PPHF funds.

(b) Recipients agree to separately identify to each sub-recipient, and document at the time of sub-award and at the time of disbursement of funds, the Federal award number, CFDA number, and amount of 2012 PPHF funds. When a recipient awards 2012 PPHF funds for an existing program, the information furnished to sub-recipients shall distinguish the sub-awards of incremental 2012 PPHF funds from regular sub-awards under the existing program.

**Reporting Requirements under Section 203 of the 2012 Enacted Appropriations Bill for the Prevention and Public Health Fund, Public Law 111-5:**

This award requires the recipient to complete projects or activities which are funded under the 2012 Prevention and Public Health Fund (PPHF) and to report on use of PPHF funds provided through this award. Information from these reports will be made available to the public.

Recipients awarded a grant, cooperative agreement, or contract from such funds with a value of \$25,000 or more shall produce reports on a semi-annual basis with a reporting cycle of January 1 - June 30 and July 1 - December 31; and email such reports (in 508 compliant format) to the CDC website (template and point of contact to be provided after award) no later than 20 calendar days after the end of each reporting period (i.e. July 20 and January 20, respectively). Recipient reports shall reference the notice of award number and title of the grant or cooperative agreement, and include a summary of the activities undertaken and identify any sub-grants or sub-contracts awarded (including the purpose of the award and the identity of the subrecipient).

**General Provisions, Title V**

**Section 503 - Proper Use of Appropriations - Publicity and Propaganda [LOBBYING] FY2012 Enacted**

(a) No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending

regulation, administrative action, or order issued by the executive branch of any State or local government itself.

(b) No part of any appropriate contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government.

(c) The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending, or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

**AR-12: Lobbying Restrictions:**

Applicants should be aware that award recipients are prohibited from using CDC/HHS funds to engage in any lobbying activity. Specifically, no part of the federal award shall be used to pay the salary or expenses of any grant recipient, subrecipient, or agent acting for such recipient or subrecipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any state government, state legislature or local legislature or legislative body.

Restrictions on lobbying activities described above also specifically apply to lobbying related to any proposed, pending, or future Federal, state, or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.

This prohibition includes grass roots lobbying efforts by award recipients that are directed at inducing members of the public to contact their elected representatives to urge support of, or opposition to, proposed or pending legislation, appropriations, regulations, administrative actions, or Executive Orders (hereinafter referred to collectively as legislation and other orders). Further prohibited grass roots lobbying communications by award recipients using federal funds could also encompass any effort to influence legislation through an attempt to affect the opinions of the general public or any segment of the population if the communications refer to specific legislation and/or other orders, directly express a view on such legislation or other orders, and encourage the audience to take action with respect to the matter.

In accordance with applicable law, direct lobbying communications by award recipients are also prohibited. Direct lobbying includes any attempt to influence legislative or other similar deliberations at all levels of government through communications that directly express a view on proposed or pending legislation and other orders and which are directed to members, staff, or other employees of a legislative body or to government officials or employees who participate in the formulation of legislation or other orders.

Lobbying prohibitions also extend to include CDC/HHS grants and cooperative agreements that, in whole or in part, involve conferences. Federal funds cannot be used directly or indirectly to encourage participants in such conferences to impermissibly lobby.

However, these prohibitions are not intended to prohibit all interaction with the legislative or executive branches of governments, or to prohibit educational efforts pertaining to public health that are within the scope of the CDC award. For state, local, and other governmental grantees, certain activities falling within the normal and recognized executive-legislative relationships or participation by an agency or officer of a state, local, or tribal government in policymaking and administrative processes within the executive branch of that government are permissible. There are circumstances for such grantees, in the course of such a normal and recognized executive-legislative relationship, when it is permissible to provide information to the legislative branch in order to foster implementation of prevention strategies to promote public health. However, such communications cannot directly urge the decision makers to act with respect to specific legislation or expressly solicit members of the public to contact the decision makers to urge such action.

Many non-profit grantees, in order to retain their tax-exempt status, have long operated under settled definitions of lobbying and influencing legislation. These definitions are a useful

benchmark for all non-government grantees, regardless of tax status. Under these definitions, grantees are permitted to (1) prepare and disseminate certain nonpartisan analysis, study, or research reports; (2) engage in examinations and discussions of broad social, economic, and similar problems in reports and at conferences; and (3) provide technical advice or assistance upon a written request by a legislative body or committee.

Award recipients should also note that using CDC/HHS funds to develop and/or disseminate materials that exhibit all three of the following characteristics are prohibited: (1) refer to specific legislation or other order; (2) reflect a point of view on that legislation or other order; and (3) contain an overt call to action.

It remains permissible for CDC/HHS grantees to use CDC funds to engage in activities to enhance prevention; collect and analyze data; publish and disseminate results of research and surveillance data; implement prevention strategies; conduct community outreach services; foster coalition building and consensus on public health initiatives; provide leadership and training, and foster safe and healthful environments.

Note also that under the provisions of 31 U.S.C. Section 1352, recipients (and their sub-tier contractors and/or funded parties) are prohibited from using appropriated Federal funds to lobby in connection with the award, extension, continuation, renewal, amendment, or modification of the funding mechanism under which monetary assistance was received. In accordance with applicable regulations and law, certain covered entities must give assurances that they will not engage in prohibited activities.

CDC cautions recipients of CDC funds to be careful not to give the appearance that CDC funds are being used to carry out activities in a manner that is prohibited under Federal law. Recipients of CDC funds should give close attention to isolating and separating the appropriate use of CDC funds from non-CDC funds.

Use of federal funds inconsistent with these lobbying restrictions could result in disallowance of the cost of the activity or action found not to be in compliance as well as potentially other enforcement actions as outlined in applicable grants regulations.

#### Section 253 - Needle Exchange

Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

#### NOTE 6. INDIRECT COSTS RATE AGREEMENTS:

Indirect costs are approved based on the Indirect Cost Rate Agreement dated, December 14, 2010, which calculates an indirect costs rate of 14.8% of the base, which includes personnel and fringe costs.

**NOTE 7. RENT OR SPACE COSTS:** Recipients are responsible for ensuring that all costs included in this proposal to establish billing or final indirect cost rates are allowable in accordance with the requirements of the Federal award(s) to which they apply and 2 CFR Part 225, Cost Principles for State, Local, and Indian Tribal Governments (OMB Circular A-87). The recipient also has a responsibility to ensure sub-recipients expend funds in compliance with federal laws and regulations. Furthermore, it is the responsibility of the recipient to ensure rent is a legitimate direct cost line item which the recipient has supported in current and/or prior projects and these same costs have been treated as indirect costs that have not been claimed as direct costs. If rent is claimed as a direct cost, the recipient must provide a narrative justification which describes their prescribed policy to include the effective date to the assigned Grants Management Specialist identified in the NOTE. CDC CONTACTS for this award.

#### NOTE 8. FEDERAL INFORMATION SECURITY MANAGEMENT ACT (FISMA):

All information systems, electronic or hard copy which contain federal data need to be protected from unauthorized access. This also applies to information associated with CDC grants. Congress and the OMB have instituted laws, policies and directives that govern the creation and implementation of federal information security practices that pertain specifically to grants and

contracts. The current regulations are pursuant to the Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002, PL 107-347.

FISMA applies to CDC grantees only when grantees collect, store, process, transmit or use information on behalf of HHS or any of its component organizations. In all other cases, FISMA is not applicable to recipients of grants, including cooperative agreements. Under FISMA, the grantee retains the original data and intellectual property, and is responsible for the security of this data, subject to all applicable laws protecting security, privacy, and research. If and when information collected by a grantee is provided to HHS, responsibility for the protection of the HHS copy of the information is transferred to HHS and it becomes the agency's responsibility to protect that information and any derivative copies as required by FISMA. For the full text of the requirements under Federal Information Security Management Act (FISMA), Title III of the E-Government Act of 2002 Pub. L. No. 107-347, please review the following website:

<http://www.gpo.gov/fdsys/pkg/PLAW-107publ347/html/PLAW-107publ347.htm>

#### NOTE 9. FEDERAL REPORTING REQUIREMENTS

##### I. FEDERAL FUNDING ACCOUNTABILITY and TRANSPARENCY Act (FFATA):

In accordance with 2 CFR Chapter 1, Part 170 REPORTING SUB-AWARD AND EXECUTIVE COMPENSATION INFORMATION, Prime grantees awarded a federal grant are required to file a FFATA sub-award report by the end of the month following the month in which the prime grantee awards any sub-grant equal to or greater than \$25,000. For instructions of reporting please visit: <http://www.frsrsgov>

##### NON-DELINQUENCY on FEDERAL DEBT

The Federal Debt Collection Procedures Act of 1990 (Act), 28 U.S.C. 3201(e), provides that an organization or individual that is indebted to the United States, and has a judgment lien filed against it, is ineligible to receive a Federal grant. CDC cannot award a grant unless the AOR of the applicant organization (or individual in the case of a Kirschstein-NRSA individual fellowship) certifies, by means of his/her signature on the application, that the organization (or individual) is not delinquent in repaying any Federal debt. If the applicant discloses delinquency on a debt owed to the Federal government, CDC may not award the grant until the debt is satisfied or satisfactory arrangements are made with the agency to which the debt is owed. In addition, once the debt is repaid or satisfactory arrangements made, CDC will take that delinquency into account when determining whether the applicant would be a responsible CDC grant recipient.

Anyone who has been judged to be in default on a Federal debt and who has had a judgment lien filed against him or her should not be listed as a participant in an application for a CDC grant until the judgment is paid in full or is otherwise satisfied. No funds may be used for or rebudgeted following an award to pay such an individual. CDC will disallow costs charged to awards that provide funds to individuals in violation of this Act.

These requirements apply to all types of organizations and awards, including foreign grants.

##### II. ANNUAL FEDERAL FINANCIAL REPORT (FFR) (SF 425)

The Annual Federal Financial Report (FFR) SF 425 is required and must be submitted through eRA Commons within 90 days after the end of each budget period. The FFR for this budget period is due to the Grants Management Specialist by October 30, 2013. Reporting timeframe is August 1, 2012 through July 31, 2013.

The FFR should only include those funds authorized and disbursed during the timeframe covered by the report. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data.

Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to submit a letter explaining the reason and date by which the Grants Officer will receive the information.

If the FFR is not finalized by the due date, an interim FFR must be submitted, marked NOT FINAL, and an amount of un-liquidated obligations should be annotated to reflect unpaid expenses. Electronic versions of the form can be downloaded into Adobe Acrobat and completed on-line by reviewing, [http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

### III. PROGRESS/PERFORMANCE REPORTING:

#### FINAL PROGRESS/PERFORMANCE REPORT

The final report is required no later than 90 days after the end of the project period. All manuscripts published as a result of the work supported in part or whole by the cooperative agreement will be submitted with the progress reports.

An original plus two copies of the reports must be mailed to the Grants Management Specialist for approval by the Grants Management Officer by the due date noted. Ensure the Award and Program Announcement numbers shown above are on the reports.

**NOTE 10. AUDIT REQUIREMENT:** An organization that expends \$500,000 or more in a year in Federal awards shall have a single or program-specific audit conducted for that year in accordance with the provisions of OMB Circular A-133, Audit of States, Local Governments, and Non-Profit Organizations. The audit must be completed along with a data collection form, and the reporting package shall be submitted within the earlier of 30 days after receipt of the auditor's report(s), or nine months after the end of the audit period.

The audit report must be sent to:

Federal Audit Clearing House  
Bureau of the Census  
1201 East 10th Street  
Jeffersonville, IN 47132

Should you have questions regarding the submission or processing of your Single Audit Package, contact the Federal Audit Clearinghouse at: (301) 763-1551, (800) 253-0696 or email: [govs.fac@census.gov](mailto:govs.fac@census.gov)

It is very helpful to CDC managers if the recipient sends a courtesy copy of completed audits and any management letters on a voluntary basis to the following address.

Centers for Disease Control and Prevention (CDC)  
ATTN: Audit Resolution, Mail Stop E-14  
2920 Brandywine Road  
Atlanta, GA 30341-4146

The grantee is to ensure that the sub-recipients receiving CDC funds also meet these requirements (if total Federal grant or cooperative agreement funds received exceed \$500,000). The grantee must also ensure that appropriate corrective action is taken within six months after receipt of the sub-recipient audit report in instances of non-compliance with Federal law and regulations. The grantee is to consider whether sub-recipient audits necessitate adjustment of the grantee's own accounting records. If a sub-recipient is not required to have a program-specific audit, the grantee is still required to perform adequate monitoring of sub-recipient activities. The grantee is to require each sub-recipient to permit independent auditors to have access to the sub-recipient's records and financial statements. The grantee should include this requirement in all sub-recipient contracts.

**NOTE 11. AWARD CLOSEOUT REQUIREMENTS:** Award recipient shall submit within 90 days after the last day of the final budget period the following final reports and other programmatic reports as required by the terms and conditions of the assistance award. Reporting timeframe 8/1/12 through 7/31/13. The following documents are required:

A. FINAL PROGRESS/PERFORMANCE REPORT. An original and two copies are required. At a minimum it should include the following:

-- A statement of progress made toward the achievement of originally stated aims

- A description of results (positive or negative) considered significant
- A list of publications resulting from the project, with plans, if any, for further publication.

#### B. FINAL FEDERAL FINANCIAL REPORT (SF 425)

An original and two copies are required. The FSR/FFR should only include those funds authorized and actually expended during the timeframe covered by the report. Handwritten forms will not be accepted. Electronic versions of the form can be downloaded into Adobe Acrobat and completed on-line by visiting: <http://www.whitehouse.gov/omb/grants/sf425.pdf>. This report must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. Should the amount not match with the final expenditures reported to the Health and Human Services Payment Management System (PMS), you will be required to update your reports to PMS accordingly. Remaining unobligated funds will be deobligated and returned to the U.S. Treasury.

#### C. EQUIPMENT INVENTORY REPORT

An original and two copies of a complete inventory must be submitted for all major equipment acquired or furnished under this project with a unit acquisition cost of \$5,000 or more. The inventory list must include the description of the item, manufacturer serial and/or identification number, acquisition date and cost, percentage of Federal funds used in the acquisition of the item. You should also identify each item of equipment that you wish to retain for continued use in accordance with 45 CFR 74.37 or 45 CFR 92.50 for State and Local Governments. These requirements do apply to equipment purchased with non-federal funds for this program. The awarding agency may exercise its rights to require the transfer of equipment purchased under the assistance award referenced in the cover letter (45 CFR 74.34 or 45 CFR 92.32) for State and Local Governments. We will notify you if transfer to title will be required and provide disposition instruction on all major equipment. Equipment with a unit acquisition cost of less than \$5,000 that is no longer to be used in projects or programs currently or previously sponsored by the Federal Government may be retained, sold, or otherwise disposed of, with no further obligation to the Federal Government. If no equipment was acquired under this award, a negative report is required.

#### D. FINAL INVENTION STATEMENT

An original and two copies of a Final Invention Statement are required. Electronic versions of the form can be downloaded by visiting <http://www.hhs.gov/forms/hhs568.pdf>. If no inventions were conceived under this assistance award, a negative report is required. This statement may be included in a cover letter.

If the final reports (FFR and Final Progress Report) cannot be submitted within 90 days after the end of the project period, in accordance with 45 CFR Parts 74 and 92, you must submit a letter requesting an extension that includes the reason(s) for the delay and state the expected date the CDC Procurement and Grants Office will receive the reports. All required documents should be mailed to the business contact identified NOTE CDC CONTACTS.

**NOTE 12. SUBGRANT/SUBRECIPIENT AWARDS:** Seed Grants/Sub-Grants are not authorized under this program or included in Program authorizing legislature. As a result, the recipient is not permitted to fund seed grants or sub-grants. Recipient must issue proposed funding as a procurement requirement per the organization's established procedures.

**NOTE 13. TRAVEL COST:** In accordance with Health and Human Services (HHS) Grants Policy Statement, travel costs are only allowable where such travel will provide direct benefit to the project or program. There must be a direct benefit imparted on behalf of the traveler as it applies to the approved activities of the Notice of Award. To prevent disallowance of cost, recipient is responsible for ensuring that only allowable travel reimbursements are applied in accordance with their organization's established travel policies and procedures. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 14. FOOD AND MEALS:** Costs associated with food or meals are allowable when consistent OMB Circulars and guidance, DHHS Federal regulations, Program Regulations, DHHS policies and guidance. In addition, costs must be proposed in accordance with recipients approved policies and a determination of reasonableness has been performed by the recipients. Recipients approved policies must meet the requirements of 45 CFR Parts 74 and 92 as applicable.

**NOTE 15. PRIOR APPROVAL:** All requests, which require prior approval, must bear the signature of an authorized official of the business office of the grantee organization as well as the principal investigator or program or project director named on this notice of award. The request must be submitted no later than 120 days prior to the end date of the current budget period and submitted with an original plus two copies. Any requests received that reflect only one signature will be returned to the grantee unprocessed. Additionally, any requests involving funding issues must include an itemized budget and a narrative justification of the request.

Prior approval is required but is not limited to the following types of requests: 1) Use of unobligated funds from prior budget period (Carryover); 2) Lift funding restriction, withholding, or disallowance, 3) Redirection of funds, 4) Change in Contractor/Consultant; 5) Supplemental funds; 6) Response to Technical Review or Summary Statement, 7) Change in Key Personnel, or 8) Liquidation Extensions.

**NOTE 16. CORRESPONDENCE:** ALL correspondence (including emails and faxes) regarding this award must be dated, identified with the AWARD NUMBER, and include a point of contact (name, phone, fax, and email). All correspondence should be addressed to the Grants Management Specialist listed below and submitted with an original plus two copies.

DeLisa D. Simpson, Grants Management Specialist  
Centers for Disease Control, PGO, Branch 2  
2920 Brandywine Road, Mailstop: K14  
Atlanta, Georgia 30341  
Phone: 770-488-2905  
Fax: 770-488-2778  
Email: [ddsimpson@cdc.gov](mailto:ddsimpson@cdc.gov)

**NOTE 17. INVENTIONS:** Acceptance of grant funds obligates recipients to comply with the standard patent rights clause in 37 CFR 401.14.

**NOTE 18. PUBLICATIONS:** Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

This publication (journal article, etc.) was supported by the Cooperative Agreement Number above from The Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention.

**NOTE 19. CANCEL YEAR.** 31 U.S.C. 1552(a) Procedure for Appropriation Accounts Available for Definite Periods states the following, On September 30th of the 5th fiscal year after the period of availability for obligation of a fixed year appropriation account ends, the account shall be closed and any remaining balances (whether obligated or unobligated) in the account shall be canceled and thereafter shall not be available for obligation or expenditure for any purpose. An example is provided below:

FY 2012 funds will expire September 30, 2017. All FY 2012 funds should be drawn down and reported to Payment Management System (PMS) prior to September 30, 2017. After this date, corrections or cash requests will not be permitted.

**NOTE 20. CONFERENCE DISCLAIMER AND USE OF LOGOS:**

**Disclaimer.** If a conference is funded by a grant, cooperative agreement, sub-grant and/or a contract the recipient must include the following statement on conference materials, including promotional materials, agenda, and internet sites:

Funding for this conference was made possible (in part) by the Centers for Disease Control and Prevention. The views expressed in written conference materials or publications and by speakers and moderators do not necessarily do not reflect the official policies of the Department of Health and Human Services, nor does the mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government.

**Logos.** Neither the HHS nor the CDC logo may be displayed if such display would cause confusion as to the conference source or give false appearance of Government endorsement. Use of the HHS name or logo is governed by U.S.C. 1320b-10, which prohibits misuse of the

HHS name and emblem in written communication. A non-federal entity is unauthorized to use the HHS name or logo governed by U.S.C. 1320b-10. The appropriate use of the HHS logo is subject to review and approval of the Office of the Assistant Secretary for Public Affairs (OASPA). Moreover, the Office of the Inspector General has authority to impose civil monetary penalties for violations (42 C.F.R. Part 1003). Neither the HHS nor the CDC logo can be used on conference materials, under a grant, cooperative agreement, and contract or co-sponsorship agreement without the expressed, written consent of either the Project Officer or the Grants Management Officer. It is the responsibility of the grantee (or recipient of funds under a cooperative agreement) to request consent for use of the logo in sufficient detail to ensure a complete depiction and disclosure of all uses of the Government logos. In all cases for utilization of Government logos, the grantee must ensure written consent is received from the Project Officer and/or the Grants Management Officer.

**NOTE 21. EQUIPMENT AND PRODUCTS:** To the greatest extent practicable, all equipment and products purchased with CDC funds should be American-made. CDC defines equipment as tangible non-expendable personal property (including exempt property) charged directly to an award having a useful life of more than one year AND an acquisition cost of \$5,000 or more per unit. However, consistent with recipient policy, a lower threshold may be established. Please provide the information to the Grants Management Officer to establish a lower equipment threshold to reflect your organization's policy.

The grantee may use its own property management standards and procedures provided it observes provisions of the following sections in the Office of Management and Budget (OMB) Circular A-110 and 45 CFR Part 92:

- i. Office of Management and Budget (OMB) Circular A-110, Sections 31 through 37 provides the uniform administrative requirements for grants and agreements with institutions of higher education, hospitals, and other non-profit organizations. For additional information, please review the following website: <http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ii. 45 CFR Parts 92.31 and 92.32 provides the uniform administrative requirements for grants and cooperative agreements to state, local and tribal governments. For additional information, please review the following website listed:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_03/45cfr92\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/45cfr92_03.html)

**NOTE 22. PROGRAM INCOME:** Any program income generated under this cooperative agreement will be used in accordance with the additional cost alternative.

Additional Costs Alternative--Used for costs that are in addition to the allowable costs of the project for any purposes that further the objectives of the legislation under which the cooperative agreement was made. General program income subject to this alternative shall be reported on the FFR (SF 425).

Note, the disposition of program income must have written prior approval from the Grants Management Officer.

**NOTE 23. KEY PERSONNEL:** In accordance with 45 CFR 74.25(c)(2) & (3) CDC recipients shall obtain prior approvals from CDC for (1) change in the project director or principal investigator or other key persons specified in the application or award document, and (2) the absence for more than three months, or a 25 percent reduction in time devoted to the project, by the approved project director or principal investigator.

**Note 24. TRAFFICKING IN PERSONS.** This award is subject to the requirements of Section 106 (g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award terms and conditions, please review the following website:  
[http://www.cdc.gov/od/pgo/funding/grants/Award\\_Term\\_and\\_Condition\\_for\\_Trafficking\\_in\\_Persons.shtml](http://www.cdc.gov/od/pgo/funding/grants/Award_Term_and_Condition_for_Trafficking_in_Persons.shtml)

**NOTE 25. ACKNOWLEDGMENT OF FEDERAL SUPPORT:** When issuing statements, press releases, requests for proposals, bid solicitations and other documents describing projects or programs funded in whole or in part with Federal money, all grantees receiving Federal funds, including and not limited to State and local governments and recipients of Federal research grants, shall clearly state (1) the percentage of the total costs of the program or project which will be financed with Federal money, (2) the dollar amount of Federal funds for the project or

program, and (3) percentage and dollar amount of the total costs of the project or program that will be financed by nongovernmental sources.

**NOTE 26. PAYMENT INFORMATION:**

Automatic Drawdown (Direct/Advance Payments):

**PAYMENT INFORMATION:** Payment under this award will be made available through the Department of Health and Human Services (HHS) Payment Management System (PMS). PMS will forward instructions for obtaining payments.

A. PMS correspondence, mailed through the U.S. Postal Service, should be addressed as follows:

Director, Division of Payment Management, OS/ASAM/PSC/FMS/DPM  
P.O. Box 6021  
Rockville, MD 20852  
Phone Number: (877) 614-5533  
Email: PMSSupport@psc.gov  
Website: [http://www.dpm.psc.gov/grant\\_recipient/shortcuts/shortcuts.aspx?explorer.event=true](http://www.dpm.psc.gov/grant_recipient/shortcuts/shortcuts.aspx?explorer.event=true)

Note: To obtain the contact information of DPM staff within respective Payment Branches refer to the links listed below:

University and Non-Profit Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/univ\\_nonprofit.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/univ_nonprofit.aspx?explorer.event=true)

Governmental and Tribal Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/gov\\_tribal.aspx?explorer.event=true](http://www.dpm.psc.gov/contacts/dpm_contact_list/gov_tribal.aspx?explorer.event=true)

Cross Servicing Payment Branch:  
[http://www.dpm.psc.gov/contacts/dpm\\_contact\\_list/cross\\_servicing.aspx](http://www.dpm.psc.gov/contacts/dpm_contact_list/cross_servicing.aspx)

International Payment Branch:  
Bhavin Patel (301) 443-9188  
Note: Mr. Patel is the only staff person designated to handle all of CDC's international cooperative agreements.

B. If a carrier other than the U.S. Postal Service is used, such as United Parcel Service, Federal Express, or other commercial service, the correspondence should be addressed as follows:

US Department of Health and Human Services  
PSC/DFO/Division of Payment Management  
7700 Wisconsin Avenue 10th Floor  
Bethesda, MD 20814

To expedite your first payment from this award, attach a copy of the Notice of Grant/Cooperative Agreement to your payment request form.

**Manual Drawdown-** This paragraph applies only to those grantees that have designated high-risk in the notice of award (Optional - for grantees designated high risk, notice of award must state the reasons for the high risk designation, what is necessary to meet the requirements of the CFR and a timeline):

**PAYMENT INFORMATION:**

Payment under this award will be on the MANUAL payment method. For recipients placed on manual drawdown, the CDC Grants Management Officer (GMO) or Grants Management Specialist (GMS) will monitor and control all payment advances for the award. It is required of the grantee to submit the following documentation on a monthly basis: a Standard Form (SF) 270, Request for Advance or Reimbursement, a monthly disbursement plan that reflects costs associated with this award, and any additional documentation to support the request (i.e. invoices, credit card statements, travel documents, etc). It is imperative for the grantee to ensure all submitted documentation is signed and dated by someone in the organization authorized to request and approve funds. All of the required documentation (overnight courier is recommended

but not required, fax and/or email submissions are not accepted) must be sent to the assigned CDC GMO or GMS at:

DeLisa D. Simpson, Grants Management Specialist  
Centers for Disease Control, PGO, Branch 2  
2920 Brandywine Road, Mailstop: K14  
Atlanta, Georgia 30341  
Phone: 770-488-2905  
Fax: 770-488-2778  
Email: [ddsimpson@cdc.gov](mailto:ddsimpson@cdc.gov)

For additional information and/or to obtain your agency point of contact at the Payment Management System, please visit the following website:  
[http://www.dpm.psc.gov/contacts/dpm/dpm.aspx?cms\\_branchevent=/contacts/dpm/univ\\_nonprofit/univ\\_nonprofit.object](http://www.dpm.psc.gov/contacts/dpm/dpm.aspx?cms_branchevent=/contacts/dpm/univ_nonprofit/univ_nonprofit.object)

Under the manual payment method, the grantee will be placed on a reimbursement payment plan. The GMS will work with the grantee to develop a corrective action plan with timeframes and consequences for non-compliance. Formal action will consist of monitoring progress with regard to completion of proposed activities. Additionally, the corrective action may include provision of technical assistance (by sponsoring program office staff). Failure to submit the required information in a timely manner may adversely affect the future funding of this project.

**NOTE 27. ACCEPTANCE OF THE TERMS OF AN AWARD:**

By drawing or otherwise obtaining funds from the grant payment system, the recipient acknowledges acceptance of the terms and conditions of the award and is obligated to perform in accordance with the requirements of the award. If the recipient cannot accept the terms, the recipient should notify the Grants Management Officer.

**NOTE 28. CERTIFICATION STATEMENT:** By drawing down funds, grantee certifies that proper financial management controls and accounting systems to include personnel policies and procedures have been established to adequately administer Federal awards and funds drawn down are being used in accordance with applicable Federal cost principles, regulations and Budget and Congressional intent of the President.

**NOTE 29. CDC CONTACTS**

**Programmatic Contact:**

Alvin Shultz, ELC Program Coordinator  
Division of Preparedness and Emerging Infections  
National Center for Emerging and Zoonotic Infectious Diseases  
Centers for Disease Control and Prevention  
1600 Clifton Road, NE; Mailstop D-59  
Atlanta, GA, 30333  
Tel: 404-639-7028  
Fax: 404-639-7880  
Email: [ashultz@cdc.gov](mailto:ashultz@cdc.gov)

**STAFF CONTACTS**

**Grants Management Specialist:** De'lisha Simpson  
PGO  
Center for Disease Control and Prevention  
Koger Center/Colgate Bldg/Room 3201  
MS K14  
Atlanta, GA 30331  
Email: [ino9@cdc.gov](mailto:ino9@cdc.gov) Phone: 770-488-2905 Fax: 770-488-2670

**Grants Management Officer:** Hector Buitrago  
Centers for Disease Control and Prevention  
Procurement and Grants Office

Koger Center, Colgate Building  
2920 Brandywine Road, Mail Stop E-09  
Atlanta, GA 30341  
Email: gmf2@cdc.gov Phone: 770-488-2921 Fax: 770-488-2777

**SPREADSHEET SUMMARY**  
**GRANT NUMBER: 3U50C1000925-02S3**

**INSTITUTION: MASSACHUSETTS STATE DEPT OF PUB HEALTH**

<i>Budget</i>	<i>Year 2</i>
Salaries and Wages	\$490,676
Fringe Benefits	\$146,571
Personnel Costs (Subtotal)	\$637,247
Supplies	\$21,371
Travel Costs	\$3,723
Other Costs	\$28,457
Consortium/Contractual Cost	\$387,081
<b>TOTAL FEDERAL DC</b>	<b>\$1,077,879</b>
<b>TOTAL FEDERAL F&amp;A</b>	<b>\$72,622</b>
<b>TOTAL COST</b>	<b>\$1,100,171</b>